

## APPENDIX V

CONGRESSIONAL INQUIRIESA. Purpose

To establish control procedures for the processing of Congressional, White House, and special interest inquiries involving the Operating Locations (OPLOCs). Procedures are in accordance with the Defense Finance and Accounting Service (DFAS) Regulation No. 003 which should be consulted for background information.

B. Procedures1. Receipt, Tasking, and Control

(a) The OPLOCs will establish a system to maintain processing control (input, process, and output). All Congressional, White House, or special inquiries received directly at the OPLOC or forwarded to the OPLOC by a DFAS Center will be answered directly by the OPLOC. The OPLOC is responsible for providing a final response to the inquirer within the DFAS goal of 10 calendar days. A file copy of the final response will be maintained by the OPLOC.

(b) All Congressional, White House, or special inquiries received by a DFAS Center which involve the OPLOCs and the Center are accounted for and controlled by the Center Directorate assigned primary responsibility. The OPLOC is responsible for providing a draft response to the Center Directorate assigned primary responsibility within 5 calendar days of receipt of the tasking at the OPLOC. The Center Directorate assigned primary responsibility will issue the final response to the inquirer.

2. Reporting

(a) When the OPLOC responds directly to the inquirer, the OPLOC will report these inquiries as a part of the monthly OPLOC Performance Management Indicators (PMI) analysis. The only reportable item under the current PMI is number of calendar days to finalize congressional inquiries.

(b) A joint inquiry response will be included in the Center PMI report with a memo entry to reflect that a joint reply was necessary

C. Signature Authority

1. Directors and Deputy Directors (GS 15/Colonel) can sign all final and interim replies to the White House and Congressional inquiries with the exception of the following types:

- (a) Issues of high visibility such as consolidation, A-76 studies, and systems standardization.
  - (b) Issues having an impact on a potential change in policy or procedure.
  - (c) Inquiries pertaining to a flag officer or civilian equivalent from any branch of service without regard to the military component (active, reserve, guard, or retired).
2. Responses to inquiries of the above types must be signed by the Center Director, Principal Deputy Director or Acting Director.
3. Signature authority will not be delegated below the Director/Deputy Director (GS 15/COL) level of an organization. If the organization or office does not have a GS 15/COL Director or Deputy Director, the replies will be sent to the Center Director for signature.
4. The following information will be submitted to DFAS-HQ through the PMI program:
- (a) The number of responses submitted to White House and Congressional inquiries as currently reported in PMI 102 and 104.
  - (b) The number requiring the Center Director's signature (new PMI).
  - (c) An addendum to the report identifying the type of inquiries by category and functional area.
5. OPLOCS are to submit, in addition to the above information, the number of inquiries received, date received, date closed, and the date and number of interim replies sent. Fax this information to Customer Service Performance Assessment Team (CSPA), Deputy Directorate for Finance Operations, no later than the first work day of the month for inclusion in the Center PMIs. If an OPLOC receives a Congressional or White House inquiry that does not indicate it has come through DFAS-IN, they are to immediately fax a copy to the Finance Directorate, for entry into the Congressional inquiries database. The fax number is 317-510-6185.

D. Courtesy Copy to MACOM

OPLOCs will provide a courtesy copy of the response to the applicable MACOM.

E. Congressional Boilerplate Information

1. Overview Protocol must be maintained when responding to Congressional inquiries. Although the facts included in a response must be specific to the inquiry, much of the format lends itself to being standardized. Accordingly, a suggested series of opening and closing

paragraphs which may be used in Congressional responses are presented below. The format changes based upon whether the response is a normal reply, an interim reply, or an untimely reply. A standard address format is also presented below.

(a) Normal Reply - Opening Paragraph An example of an opening paragraph for a normal reply is: “This is in response to your letter dated MONTH/DAY/YEAR, to (name the individual if addressed to other than the Director, DFAS) on behalf of (constituent's name) who expressed concern about (brief subject to describe need for reply). Since this is a matter for which the Defense Finance and Accounting Service has responsibility, your letter was referred to us for response.” See Figure V-1.

(b) Normal Reply - Closing Paragraph An example of a closing paragraph for a normal reply is: “I believe the above fully responds to your inquiry. If further detailed information is required, please contact me at (XXX) XXX-XXXX.” See Figure V-1.

(c) Interim Reply - Opening Paragraph An example of an opening paragraph for an interim reply is: “This is an interim reply to your inquiry dated MONTH/DAY/YEAR to (name of individual if addressed to other than the OPLOC Director) on behalf of (constituent's name) who expressed concern about (brief subject to describe need for the reply). Since this is a matter for which the Defense Finance and Accounting Service has responsibility, your letter was referred to us for response.” See Figure V-2.

(d) Interim Reply - Closing Paragraphs An example of a closing paragraph for an interim reply is: “We are currently reviewing Mr. Doe's concerns. Once we have completed our review, we will provide you a more detailed response. We anticipate that this will take approximately 15 days. If further information is required, please contact me at (XXX) XXX-XXXX.” See Figure V-2.

(e) Untimely Reply (30 Days from Date of Receipt of the Incoming Inquiry) Opening Paragraph An example of an opening paragraph for untimely reply is: “I apologize for the delay in responding to your letter to (name the individual if addressed to other than the Director, DFAS) dated MONTH/DAY/YEAR on behalf of (constituent's name). We wanted to ensure a thorough review of (constituent's name) case before forwarding a final answer.” See Figure V-3.

(f) Untimely Reply - Closing Paragraph An example of a closing paragraph for an untimely reply is: “I believe the above fully responds to your inquiry. If further detailed information is required, please contact me at (XXX) XXX-XXXX.” See Figure V-3.

(g) Further Reply - Opening Paragraph An example of an opening paragraph for a further reply is: “This is in further response to your letter dated MONTH/DAY/YEAR to (name of individual if other than the Director, DFAS) on behalf of (constituent's name). Please refer to my letter of (date of interim response) concerning this issue.” See Figure V-4.

(h) Further Reply - Closing Paragraph An example of a closing paragraph for a further reply is: "I believe the above fully responds to your inquiry. If further detailed information is required, please contact me at (XXX) XXX-XXXX." See Figure V-4.

**EXAMPLE OF A NORMAL REPLY**

Honorable Edward F. Kennedy (Senator)  
United States Senate  
Washington, DC 20515

Honorable John R. Kasich (Congressman)  
House of Representatives  
Washington, DC 20510

Dear Senator: (Congressman, Congresswoman, Mr. Chairman)

This is in response to your inquiry of January 5, 1995, to the Honorable William Perry on behalf of your constituent

Mr. John W. Doe, concerning Hazardous Duty Incentive Pay (HDIP) and the statutory limitations relating to multiple payments of this entitlement. Since this is a matter for which the Defense Finance and Accounting Service has responsibility, your letter was referred to us for response.

(Use this paragraph or what is needed to further answer the inquiry).

I believe the above fully response to your inquiry. If further detailed information is required, please contact me at xxx-xxx-xxxx.

Sincerely,

John M. Doe  
OPLOC Director

Enclosure

CENTERS PLEASE NOTE THAT THE SIGNATURE LINE WOULD BE THAT OF THE INDIVIDUAL DELEGATED RESPONSIBILITY.

Figure V-1

**EXAMPLE OF AN INTERIM REPLY**

Honorable Edward F. Kennedy (Senator)  
United States Senate  
Washington, DC 20515

Honorable John R. Kasich (Congressman)  
House of Representatives  
Washington, DC 20510

Dear Senator: (Congressman, Congresswoman, Mr. Chairman)

This is an interim response to your inquiry of January 5, 1995, to the Honorable William Perry on behalf of your constituent Mr. John W. Doe, concerning Hazardous Duty Incentive Pay (HDIP) and the statutory limitations relating to multiple payments of this entitlement. Since this is a matter for which the Defense Finance and Accounting Service has responsibility, your letter was referred to us for response.

We are currently reviewing Mr. Doe's concerns. Once we have completed our review, we will provide you a more detailed response. We anticipate this will take approximately 15 days.

If further information is required, please contact me at xxx-xxx-xxxx.

Sincerely,

John M. Doe  
Deputy Director for  
Resource Management

Enclosure

CENTERS PLEASE NOTE THAT THE SIGNATURE LINE WOULD BE THAT OF THE INDIVIDUAL DELEGATED RESPONSIBILITY.

Figure V-2

**EXAMPLE OF AN UNTIMELY REPLY**

Honorable Edward F. Kennedy (Senator)  
United States Senate  
Washington, DC 20515

Honorable John R. Kasich (Congressman)  
House of Representatives  
Washington, DC 20510

Dear Senator: (Congressman, Congresswoman, Mr. Chairman)

I apologize for the delay in responding to your letter of January 5, 1995, to the Honorable William Perry on behalf of your constituent Mr. John W. Doe, concerning Hazardous Duty Incentive Pay (HDIP) and the statutory limitations relating to multiple payments of this entitlement. We wanted to ensure a thorough review of (constituent's name) case before forwarding a final answer.

(Use this paragraph or what is needed to further answer the inquiry).

I believe the above fully responds to your inquiry. If further detailed information is required, please contact at xxx-xxx-xxxx.

Sincerely,

John M. Doe  
Director

Enclosure

CENTERS PLEASE NOTE THAT THE SIGNATURE LINE WOULD BE THAT OF THE INDIVIDUAL DELEGATED RESPONSIBILITY.

Figure V-3

**EXAMPLE OF A FURTHER REPLY**

Honorable Edward F. Kennedy (Senator)  
United States Senate  
Washington, DC 20515

Honorable John R. Kasich (Congressman)  
House of Representatives  
Washington, DC 20510

Dear Senator: (Congressman, Congresswoman, Mr. Chairman)

This is in further response to your inquiry of January 5, 1995, on behalf of your constituent Mr. John W. Doe, concerning Hazardous Duty Incentive Pay (HDIP) and the statutory limitations relating to multiple payments of this entitlement. Please refer to my letter of XX/XX/XX concerning this issue.

(Use this paragraph or what is needed to further answer the inquiry).

I believe the above fully responds to your inquiry. If further detailed information is required, please contact at xxx-xxx-xxxx.

Sincerely,

John M. Doe  
Director

Enclosure

CENTERS PLEASE NOTE THAT THE SIGNATURE LINE WOULD BE THAT OF THE INDIVIDUAL DELEGATED RESPONSIBILITY.

Figure V-4